



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inter Patent Application of
HARRINGTON et al.

Atty. Ref.: 3594-5

Serial No. 09/666,559

Group: 2164

Filed: September 21, 2000

Examiner:

For: PROCESS AND APPARATUS FOR CONDUCTING
AUCTIONS OVER ELECTRONIC NETWORKS

* * * * *

February 27, 2001

Assistant Commissioner for Patents
Washington, DC 20231

Sir:

INFORMATION DISCLOSURE STATEMENT

In accordance with Rule 97, the undersigned attorney submits the documents listed on the attached form PTO-1449. A copy of each document is enclosed.

The Examiner is requested to initial the attached form PTO-1449 and to return a copy to the undersigned as an indication that the attached documents have been considered and made of record in this case.

Respectfully submitted,

NIXON & VANDERHYE P.C.

By: 

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**INFORMATION DISCLOSURE
CITATION**

ATTY. DOCKET NO.

SERIAL NO.

3594-5

09/666,559

APPLICANT

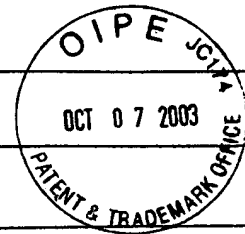
HARRINGTON et al.

FILING DATE

GROUP

September 21, 2000

2164



U.S. PATENT DOCUMENTS

[illegible]

FOREIGN PATENT DOCUMENTS

[illegible]

OTHER DOCUMENTS (including Author, Title, Date, Pertinent pages, etc.)

[illegible]

Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to application.

Form PTO-FB-A820 (Also PTO-1445)



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patent Application of

HARRINGTON et al.

Serial No. 09/666,559

Filed: September 21, 2000

For: PROCESS AND APPARATUS FOR CONDUCTING AUCTIONS
OVER ELECTRONIC NETWORKS

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Atty. Ref.: 3594-5

Group: 2164

Examiner:

December 2, 2002

Assistant Commissioner for Patents
Washington, DC 20231

Sir:

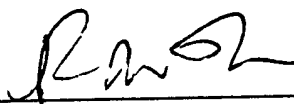
SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

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**INFORMATION DISCLOSURE
CITATION**

(Use several sheets if necessary)

ATTY. DOCKET NO.

3594-5
APPLICANT

HARRINGTON et al.

FILING DATE

September 21, 2000

SERIAL NO.

09/666,559

GROUP

2164



U.S. PATENT DOCUMENTS

[illegible]

FOREIGN PATENT DOCUMENTS

[illegible]

OTHER DOCUMENTS (including Author, Title, Date, Pertinent pages, etc.)

[illegible]

*Examiner

Date Considered

Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to application.



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE



In re Patent Application of

HARRINGTON et al.

Atty. Ref.: 3594-5

Serial No. 09/666,559

Group: 2164

Filed: September 21, 2000

Examiner:

For: PROCESS AND APPARATUS FOR CONDUCTING AUCTIONS
OVER ELECTRONIC NETWORKS

* * * * *

November 15, 2002

Assistant Commissioner for Patents
Washington, DC 20231

Sir:

INFORMATION DISCLOSURE STATEMENT

In accordance with Rule 97, the undersigned attorney submits the documents listed on the attached form PTO-1449. A copy of each document is enclosed.

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Respectfully submitted,

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**INFORMATION DISCLOSURE
CITATION**

ATTY. DOCKET NO.

3594-5

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APPLICANT

HARRINGTON et al.

FILING DATE

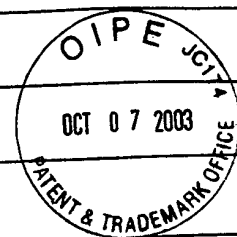
September 21, 2000

SERIAL NO.

09/666,559

GROUP

2164



(Use several sheets if necessary)

U.S. PATENT DOCUMENTS

[illegible]

FOREIGN PATENT DOCUMENTS

[illegible]

OTHER DOCUMENTS (including Author, Title, Date, Pertinent pages, etc.)

OTHER DOCUMENTS (including					
*Examiner			Date Considered		

***Examiner**

Date Considered _____

*Examiner	Date Considered
<p>Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to application.</p>	
<p>Form PTO-FB-A820 (Also PTO-144)</p>	

Form PTO-FB-A820 (Also PTO-1449)



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of

HARRINGTON et al.

Serial No. 09/666,559

Filed: September 21, 2000

For: PROCESS AND APPARATUS FOR CONDUCTING
AUCTIONS OVER ELECTRONIC NETWORKS

* * * * *

Atty. Ref.: 3594-5

Group: 2164

Examiner:

June 4, 2002

Assistant Commissioner for Patents
Washington, DC 20231

Sir:

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Applicants apprise that PTO that their US Patent No. 6,161,099 (which issued from the parent application from which this continuing application claims priority under 35 USC 120) is being asserted in a patent infringement litigation captioned as follows:

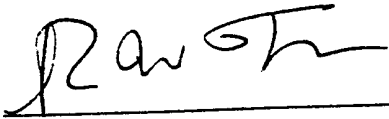
*Muniauction, Inc. d/b/a Grant Street Group, Inc. v. Thomson Corporation
t/d/b/a Thomson Financial and/or Thomson Financial Municipals Group,
and I-Deal, LLC, United States District Court for the Western District of
Pennsylvania (CA No. 01 1003).*

A copy of the complaint and amended complaint as filed in the court is attached.

HARRINGTON et al.
Serial No. 09/666,559

Respectfully submitted,

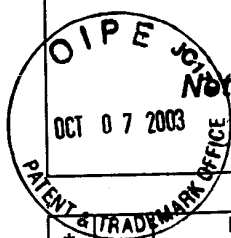
NIXON & VANDERHYE P.C.

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Notice of References Cited

Application/Control No.

09/666,559

Applicant(s)/Patent Under
Reexamination
HARRINGTON ET AL.

Examiner

Forest O. Thompson Jr.

Art Unit

3625

Page 1 of 1

U.S. PATENT DOCUMENTS

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification
	A	US-6,026,383	02-2000	Ausubel, Lawrence M.	705/37
	B	US-			
	C	US-			
	D	US-			
	E	US-			
	F	US-			
	G	US-			
	H	US-			
	I	US-			
	J	US-			
	K	US-			
	L	US-			
	M	US-			

FOREIGN PATENT DOCUMENTS

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Country	Name	Classification
	N					
	O					
	P					
	Q					
	R					
	S					
	T					

NON-PATENT DOCUMENTS

*		Include as applicable: Author, Title Date, Publisher, Edition or Volume, Pertinent Pages)
	U	
	V	
	W	
	X	

*A copy of this reference is not being furnished with this Office action. (See MPEP § 707.05(a).)
Dates in MM-YYYY format are publication dates. Classifications may be US or foreign.

SERIAL NO.

09/666,559

HARRINGTON et al.

FILING DATE

GROUP

May 29, 1998

[illegible][illegible]

OTHER DOCUMENTS (including Author, Title, Date, Pertinent pages, etc.)		
	1990 WL 286361 (S.E.C.), SEC No-Action Letter, *1 CapitalLink Securities Corporation and CapitalLink Bond Auctions, Incorporated, dated 4/6/1989, Publicly Available April 10, 1990	
	1986 WL 67656 (S.E.C.), SEC No-Action Letter, *1 CapitalLink Securities Corporation, dated 4/25/1986, Publicly available August 9, 1986	
	1997 WL 9063 (S.E.C.), (SEC No-Action Letter) *1 Intervest Financial Services, Inc., dated 12/23/1996, Publicly Available January 13, 1997	
	1999 WL 239650 (S.E.C.) (Sec No-Action Letter), *1 Bloomberg L.P. and Bloomberg Tradebook LLC, dated 2/26/1999, Publicly Available April 21, 1999	
*Examiner		Date Considered

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Form PTO-FB-A820 (Also PTO-1449)

Form PTO-FB-A820 (Also PTO-1449)